

A GENERALIZATION OF THE CASSELS-TATE DUAL EXACT SEQUENCE

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ABSTRACT. We extend the well-known Cassels-Tate dual exact sequence for abelian varieties A over global fields K in two directions: we treat the p -primary component in the function field case, where p is the characteristic of K , and we dispense with the hypothesis that the Tate-Shafarevich group of A is finite.

1. INTRODUCTION

Let K be a global field and let m be a positive integer *which is prime to the characteristic of K* (in the function field case). Let A be an abelian variety over K . Then there exists an exact sequence of discrete groups

$$0 \rightarrow \text{III}(A)(m) \rightarrow H^1(K, A)(m) \rightarrow \bigoplus_{\text{all } v} H^1(K_v, A)(m) \rightarrow \text{B}(A)(m) \rightarrow 0,$$

where K_v is the henselization of K at v , $M(m)$ denotes the m -primary component of a torsion abelian group M , and $\text{B}(A)$ is defined to be the cokernel of the localization map $H^1(K, A) \rightarrow \bigoplus_{\text{all } v} H^1(K_v, A)$. The Pontrjagin dual of the preceding exact sequence is an exact sequence of compact groups

$$0 \leftarrow \text{III}(A)(m)^* \leftarrow H^1(K, A)(m)^* \leftarrow \prod_{\text{all } v} H^0(K_v, A^t)^\wedge \leftarrow \text{B}(A)(m)^* \leftarrow 0,$$

where A^t is the abelian variety dual to A and, for any abelian group M , M^\wedge denotes the m -adic completion $\varprojlim_n M/m^n$ of M . Now, if $\text{III}(A)(m)$ is *finite* (or, more generally, if $\text{III}(A)(m)$ contains no non-trivial elements which are divisible by m^n for every $n \geq 1$), then $\text{III}(A)(m)^*$ and $\text{B}(A)(m)^*$ are canonically isomorphic to $\text{III}(A^t)(m)$

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and $A^t(K)^\wedge$, respectively, and the preceding exact sequence induces an exact sequence

$$0 \leftarrow \text{III}(A^t)(m) \leftarrow H^1(K, A)(m)^* \leftarrow \prod_{\text{all } v} H^0(K_v, A^t)^\wedge \leftarrow A^t(K)^\wedge \leftarrow 0$$

which is known as *the Cassels-Tate dual exact sequence* [3, 11]. See [9, Theorem II.5.6(b), p.247]. The aim of this paper is to extend the isomorphism $\text{B}(A)(m)^* \simeq A^t(K)^\wedge$ recalled above to the case where m is divisible by the characteristic of K (in the function field case) and no hypotheses are made on $\text{III}(A)$. The following is the main result of the paper. Let m and n be *arbitrary* positive integers. Set

$$\text{Sel}(A^t)_{m^n} = \text{Ker} \left[H^1(K, A_{m^n}^t) \rightarrow \bigoplus_{\text{all } v} H^1(K_v, A^t) \right]$$

and

$$T_m \text{Sel}(A^t) = \varprojlim_n \text{Sel}(A^t)_{m^n}.$$

Then the following holds¹:

Main Theorem. *For any positive integer m , there exists a natural exact sequence of compact groups*

$$0 \leftarrow \text{III}(A)(m)^* \leftarrow H^1(K, A)(m)^* \leftarrow \prod_{\text{all } v} H^0(K_v, A^t)^\wedge \leftarrow T_m \text{Sel}(A^t) \leftarrow 0.$$

It should be noted that a similar statement holds true if above the henselizations of K are replaced by its completions. See [9, Remark I.3.10, p.58].

This paper grew out of questions posed to the authors by B.Poonen, in connection with the forthcoming paper [10]. We expect that the above theorem will be useful in [op.cit.].

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¹To see why the exact sequence of the theorem extends the Cassels-Tate dual exact sequence recalled above, see exact sequence (6) below and note that $T_m \text{III}(A) = T_m(\text{III}(A)_{m\text{-div}})$ vanishes if $\text{III}(A)_{m\text{-div}} = 0$.

with in the relevant proofs of [9] if $A(K)^\wedge$ is replaced with $T_m \text{Sel}(A)$ throughout².

2. SETTINGS AND NOTATIONS

Let K be a global field and let A be an abelian variety over K . In the function field case, we let p denote the characteristic of K . All cohomology groups below are either Galois cohomology groups or flat cohomology groups. For any non-archimedean prime v of K , K_v will denote the field of fractions of the henselization of the ring of v -integers of K . If v is an archimedean prime, K_v will denote the completion of K at v , and we will write $H^0(K_v, A)$ for the quotient of $A(K_v)$ by its identity component. Note that, for any prime v of K , the group $H^1(K_v, A)$ is canonically isomorphic to $H^1(\widehat{K}_v, A)$, where \widehat{K}_v denotes the completion of K at v . See [9, Remark I.3.10(ii), p.58]. Now let X denote either the spectrum of the ring of integers of K (in the number field case) or the unique smooth complete curve over the field of constants of K with function field K (in the function field case). In what follows, U denotes a nonempty open subset of X such that A has good reduction over U . When N is a quasi-finite flat group scheme on U , we endow $H^r(U, N)$ with the discrete topology. Now let m and n be arbitrary positive integers, and let M be an abelian topological group. We will write M/m^n for $M/m^n M = M \otimes_{\mathbb{Z}} \mathbb{Z}/m^n$ and M^\wedge for the m -adic completion $\varprojlim_n M/m^n$ of M . Further, we set $\mathbb{Z}_m = \prod_{\ell|m} \mathbb{Z}_\ell$, $\mathbb{Q}_m = \mathbb{Z}_m \otimes_{\mathbb{Z}} \mathbb{Q}$ and define $M^* = \text{Hom}_{\text{cts}}(M, \mathbb{Q}_m/\mathbb{Z}_m)$. Finally, the m -primary component of a torsion group M will be denoted by $M(m)$.

3. PROOF OF THE MAIN THEOREM

Both A and its dual variety A^t extend to abelian schemes \mathcal{A} and \mathcal{A}^t over U (see [2, Ch.1, §1.4.3]). By [5, VIII.7.1(b)], the canonical Poincaré biextension of (A^t, A) by \mathbb{G}_m extends to a biextension over U of $(\mathcal{A}^t, \mathcal{A})$ by \mathbb{G}_m . Further, by [op.cit., VII.3.6.5], (the isomorphism class of) this biextension corresponds to a map $\mathcal{A}^t \otimes^{\mathbf{L}} \mathcal{A} \rightarrow \mathbb{G}_m[1]$ in the derived category of the category of smooth sheaves on U . This map in turn induces (see [9, p.283]) a canonical pairing $H^1(U, \mathcal{A}^t) \times H^1(U, \mathcal{A}) \rightarrow H^3_c(U, \mathbb{G}_m) \simeq \mathbb{Q}/\mathbb{Z}$, where the $H^r_c(U, \mathcal{A})$ are

²After this paper was completed, we learned that the existence of a natural duality between $\text{B}(A)(m)$ and $T_m \text{Sel}(A^t)$ had already been observed by J.W.S.Cassels in the case of elliptic curves over number fields. See [3, p.153]. Therefore, the Main Theorem of this paper may be regarded as a natural generalization of Cassels' result.

the cohomology groups with compact support of the sheaf \mathcal{A} defined in [9, p.271].

Remark 3.1. The smoothness of \mathcal{A} implies that the groups $H^r(U, \mathcal{A})$ and $H_c^r(U, \mathcal{A})$ agree with the analogous groups defined for the étale topology. See [9, Proposition III.0.4(d), p.272].

For any positive integer m and any $n \geq 1$, the above pairing induces a pairing

$$(1) \quad H^1(U, \mathcal{A}_{m^n}^t) \times H_c^1(U, \mathcal{A})/m^n \rightarrow \mathbb{Q}/\mathbb{Z}.$$

On the other hand, the map $\mathcal{A}^t \otimes^{\mathbf{L}} \mathcal{A} \rightarrow \mathbb{G}_m[1]$ canonically defines a map $\mathcal{A}_{m^n}^t \times \mathcal{A}_{m^n} \rightarrow \mathbb{G}_m$, which induces a pairing

$$(2) \quad H^1(U, \mathcal{A}_{m^n}^t) \times H_c^2(U, \mathcal{A}_{m^n}) \rightarrow \mathbb{Q}/\mathbb{Z}.$$

The preceding pairing induces an isomorphism

$$(3) \quad H_c^2(U, \mathcal{A}_{m^n}) \xrightarrow{\sim} H^1(U, \mathcal{A}_{m^n}^t)^*.$$

See [9, Corollary II.3.3, p.217] for the case where m prime to p , and [op.cit., Theorem III.8.2, p.361] for the case where m is divisible by p . The pairings (1) and (2) are compatible, in the sense that the following diagram commutes:

$$(4) \quad \begin{array}{ccc} H^1(U, \mathcal{A}_{m^n}^t) \times H_c^1(U, \mathcal{A})/m^n & \longrightarrow & \mathbb{Q}/\mathbb{Z} \\ \downarrow \text{id} \times \partial & & \parallel \\ H^1(U, \mathcal{A}_{m^n}^t) \times H_c^2(U, \mathcal{A}_{m^n}) & \longrightarrow & \mathbb{Q}/\mathbb{Z}, \end{array}$$

where $\partial: H_c^1(U, \mathcal{A})/m^n \hookrightarrow H_c^2(U, \mathcal{A}_{m^n})$ is induced by the connecting homomorphism $H_c^1(U, \mathcal{A}) \rightarrow H_c^2(U, \mathcal{A}_{m^n})$ coming from the exact sequence

$$0 \rightarrow \mathcal{A}_{m^n} \rightarrow \mathcal{A} \xrightarrow{m^n} \mathcal{A} \rightarrow 0.$$

Now define

$$\text{Sel}(\mathcal{A}^t)_{m^n} = \text{Ker} \left[H^1(K, \mathcal{A}_{m^n}^t) \rightarrow \bigoplus_{\text{all } v} H^1(K_v, \mathcal{A}^t) \right]$$

and

$$T_m \text{Sel}(\mathcal{A}^t) = \varprojlim_n \text{Sel}(\mathcal{A}^t)_{m^n}.$$

By the proof of [9, Proposition I.6.4, p.92], there exists an exact sequence

$$(5) \quad 0 \rightarrow \mathcal{A}^t(K)/m^n \rightarrow \text{Sel}(\mathcal{A}^t)_{m^n} \rightarrow \text{III}(\mathcal{A}^t)_{m^n} \rightarrow 0.$$

Taking inverse limits, we obtain an exact sequence

$$(6) \quad 0 \rightarrow A^t(K)^\wedge \rightarrow T_m \text{Sel}(A^t) \rightarrow T_m \text{III}(A^t) \rightarrow 0.$$

See [1, Proposition 10.2, p.104]. Now define³

$$D^1(U, \mathcal{A}_{m^n}^t) = \text{Ker} \left[H^1(U, \mathcal{A}_{m^n}^t) \rightarrow \prod_{v \notin U} H^1(K_v, A^t) \right]$$

and

$$\begin{aligned} D^1(U, \mathcal{A}^t) &= \text{Im} [H_c^1(U, \mathcal{A}^t) \rightarrow H^1(U, \mathcal{A}^t)] \\ &= \text{Ker} \left[H^1(U, \mathcal{A}^t) \rightarrow \prod_{v \notin U} H^1(K_v, A^t) \right]. \end{aligned}$$

Note that the pairing $H^1(U, \mathcal{A}^t) \times H_c^1(U, \mathcal{A}) \rightarrow \mathbb{Q}/\mathbb{Z}$ induces a pairing $D^1(U, \mathcal{A}^t) \times D^1(U, \mathcal{A}) \rightarrow \mathbb{Q}/\mathbb{Z}$.

By [9, Proposition III.0.4(a), p.271] and the right-exactness of the tensor product functor, there exists a natural exact sequence

$$(7) \quad \bigoplus_{v \notin U} H^0(K_v, A)/m^n \rightarrow H_c^1(U, \mathcal{A})/m^n \rightarrow D^1(U, \mathcal{A})/m^n \rightarrow 0.$$

Lemma 3.2. *The map $H^1(U, \mathcal{A}_{m^n}^t) \hookrightarrow H^1(K, A_{m^n}^t)$ induces an isomorphism*

$$D^1(U, \mathcal{A}_{m^n}^t) \simeq \text{Sel}(A^t)_{m^n}.$$

Proof. By [9, Lemma II.5.5, p.246] and Remark 3.1 above, the map $H^1(U, \mathcal{A}^t) \hookrightarrow H^1(K, A^t)$ induces an isomorphism

$$D^1(U, \mathcal{A}^t)_{m^n} \simeq \text{III}(A^t)_{m^n}.$$

Now $H^1(U, \mathcal{A}_{m^n}^t) \rightarrow \prod_{v \in U} H^1(K_v, A^t)$ factors through $H^1(U, \mathcal{A}^t) \rightarrow \prod_{v \in U} H^1(K_v, A^t)$, which is the zero map (see [9, (5.5.1), p.247] and Remark 3.1 above). Consequently, $H^1(U, \mathcal{A}_{m^n}^t) \hookrightarrow H^1(K, A_{m^n}^t)$ maps $D^1(U, \mathcal{A}_{m^n}^t)$ into $\text{Sel}(A^t)_{m^n}$. To prove surjectivity, we consider the commutative diagram

$$\begin{array}{ccccccc} 0 & \longrightarrow & \mathcal{A}^t(U)/m^n \mathcal{A}^t(U) & \longrightarrow & H^1(U, \mathcal{A}_{m^n}^t) & \longrightarrow & H^1(U, \mathcal{A}^t)_{m^n} \longrightarrow 0 \\ & & \downarrow & & \downarrow & & \downarrow \\ 0 & \longrightarrow & A^t(K)/m^n A^t(K) & \longrightarrow & H^1(K, A_{m^n}^t) & \longrightarrow & H^1(K, A^t)_{m^n} \longrightarrow 0. \end{array}$$

Note that the properness of \mathcal{A}^t over U implies that the left-hand vertical map in the above diagram is an isomorphism (see [op.cit., p.242]). Now let $c \in \text{Sel}(A^t)_{m^n}$, write c' for its image in $\text{III}(A^t)_{m^n}$ under the map in (5) and let $\xi' \in D^1(U, \mathcal{A}^t)_{m^n} \subset H^1(U, \mathcal{A}^t)_{m^n}$ be the pullback of

³In these definitions, the products extend over all primes of K , including the archimedean primes, not in U .

c' under the isomorphism $D^1(U, \mathcal{A}^t)_{m^n} \simeq \text{III}(A^t)_{m^n}$ recalled above. Then the fact that the left-hand vertical map in the above diagram is an isomorphism implies that ξ' can be pulled back to a class $\xi \in H^1(U, \mathcal{A}_{m^n}^t)$ which maps down to c . Clearly $\xi \in D^1(U, \mathcal{A}_{m^n}^t)$, and this completes the proof. \square

The following proposition generalizes [9, Theorem II.5.2(c), p.244].

Proposition 3.3. *There exists a canonical isomorphism*

$$(T_m \text{Sel}(A^t))^* \xrightarrow{\sim} H_c^2(U, \mathcal{A})(m).$$

Proof. There exists a commutative diagram

$$\begin{array}{ccccccc} 0 & \longrightarrow & H_c^1(U, \mathcal{A})/m^n & \longrightarrow & H_c^2(U, \mathcal{A}_{m^n}) & \longrightarrow & H_c^2(U, \mathcal{A})_{m^n} \longrightarrow 0 \\ & & \searrow c & & \downarrow \simeq & & \\ & & & & H^1(U, \mathcal{A}_{m^n}^t)^*, & & \end{array}$$

where the vertical map is the isomorphism (3). Clearly, the above diagram induces an isomorphism $\text{Coker } c \simeq H_c^2(U, \mathcal{A})_{m^n}$. On the other hand, there exists a natural exact commutative⁴ diagram

$$\begin{array}{ccccccc} \bigoplus_{v \notin U} H^0(K_v, A)/m^n & \longrightarrow & H_c^1(U, \mathcal{A})/m^n & \longrightarrow & D^1(U, \mathcal{A})/m^n & \longrightarrow 0 \\ \downarrow \simeq & & \downarrow c & & \downarrow \psi & & \\ \bigoplus_{v \notin U} H^1(K_v, A^t)_{m^n}^* & \longrightarrow & H^1(U, \mathcal{A}_{m^n}^t)^* & \longrightarrow & D^1(U, \mathcal{A}_{m^n}^t)^* & \longrightarrow 0, & \end{array}$$

where the top row is (7), the right-hand vertical map ψ is the composite of the natural map $D^1(U, \mathcal{A})/m^n \rightarrow D^1(U, \mathcal{A}^t)_{m^n}^*$ induced by the pairing $D^1(U, \mathcal{A}^t) \times D^1(U, \mathcal{A}) \rightarrow \mathbb{Q}/\mathbb{Z}$ and the natural map $D^1(U, \mathcal{A}^t)_{m^n}^* \rightarrow D^1(U, \mathcal{A}_{m^n}^t)^*$, and the left-hand vertical map is induced by the canonical Poincaré biextensions of (A^t, A) by \mathbb{G}_m over K_v for each $v \notin U$. That the latter map is an isomorphism follows from [9, Remarks I.3.5 and I.3.7, pp.53 and 56, and Theorem III.7.8, p.354] and the fact that the pairings defined in [loc.cit.] are compatible with the pairing induced by the canonical Poincaré biextension (see [4, Appendix]). The above diagram and the identification $\text{Coker } c = H_c^2(U, \mathcal{A})_{m^n}$ yield an exact sequence

$$D^1(U, \mathcal{A})/m^n \rightarrow D^1(U, \mathcal{A}_{m^n}^t)^* \rightarrow H_c^2(U, \mathcal{A})_{m^n} \rightarrow 0$$

⁴The commutativity of this diagram follows from that of diagram (4).

Taking direct limits, we obtain an exact sequence

$$D^1(U, \mathcal{A}) \otimes \mathbb{Q}_m/\mathbb{Z}_m \rightarrow \left(\varprojlim D^1(U, \mathcal{A}_{m^n}^t) \right)^* \rightarrow H_c^2(U, \mathcal{A})(m) \rightarrow 0$$

But $D^1(U, \mathcal{A}) \otimes \mathbb{Q}_m/\mathbb{Z}_m = 0$ since $D^1(U, \mathcal{A})$ is torsion and $\mathbb{Q}_m/\mathbb{Z}_m$ is divisible. Now lemma 3.2 completes the proof. \square

By Remark 3.1 and [9, proof of Lemma II.5.5, p.247, and Proposition II.2.3, p. 203], there exist exact sequences⁵

$$H^1(U, \mathcal{A}) \xrightarrow{c_U} \bigoplus_{v \notin U} H^1(K_v, A) \rightarrow H_c^2(U, \mathcal{A})$$

and

$$0 \rightarrow H^1(U, \mathcal{A}) \xrightarrow{i_U} H^1(K, A) \xrightarrow{\lambda_U} \bigoplus_{v \in U} H^1(K_v, A),$$

where c_v and λ_U are natural localization maps and i_U is induced by the inclusion $\text{Spec } K \hookrightarrow U$. If $U \subset V$ is an inclusion of nonempty open subsets of X , then there exists a natural commutative diagram

$$\begin{array}{ccc} H^1(V, \mathcal{A}) & \xrightarrow{c_V} & \bigoplus_{v \notin V} H^1(K_v, A) \\ \downarrow & & \downarrow \\ H^1(U, \mathcal{A}) & \xrightarrow{c_U} & \bigoplus_{v \notin U} H^1(K_v, A). \end{array}$$

Define

$$\Sigma(A)_U = \text{coker} \left[c_U : H^1(U, \mathcal{A}) \rightarrow \bigoplus_{v \notin U} H^1(K_v, A) \right],$$

which we regard as a subgroup of $H_c^2(U, \mathcal{A})$. The preceding diagram shows that an inclusion $U \subset V$ of nonempty open subsets of X induces a map $\Sigma(A)_V \rightarrow \Sigma(A)_U$. Define

$$\Sigma(A) = \varinjlim \Sigma(A)_U = \text{coker} \left[H^1(K, A) \rightarrow \bigoplus_{\text{all } v} H^1(K_v, A) \right],$$

where the limit is taken over the directed family of all nonempty open subsets U of X such that A has good reduction over U , ordered by

⁵In the second exact sequence, “ $v \in U$ ” is shorthand for “ v is a closed point of U ”.

$V \leq U$ if and only if $U \subset V$. For each U as above and every $n \geq 1$, there exists an exact sequence

$$\bigoplus_{v \notin U} H^1(K_v, A)_{m^n} \rightarrow (\mathcal{B}(A)_U)_{m^n} \rightarrow (\text{Im } c_U)/m^n.$$

Since $\text{Im } c_U$ is torsion, we conclude that there exists a surjection

$$(8) \quad \bigoplus_{v \notin U} H^1(K_v, A)(m) \longrightarrow \mathcal{B}(A)_U(m)$$

On the other hand, by the proof of [9, Corollary I.6.23(b), p.111], there exists a natural injection $T_m \text{Sel}(A^t) \hookrightarrow \prod_{\text{all } v} H^0(K_v, A^t)^\wedge$ and hence a surjection

$$\bigoplus_{\text{all } v} (H^0(K_v, A^t)^\wedge)^* \rightarrow (T_m \text{Sel}(A^t))^*$$

Further, as noted in the proof of Proposition 3.3, the canonical Poincaré biextensions induce an isomorphism

$$\bigoplus_{\text{all } v} (H^0(K_v, A^t)^\wedge)^* \simeq \bigoplus_{\text{all } v} H^1(K_v, A)(m),$$

whence there exists a surjection

$$(9) \quad \bigoplus_{\text{all } v} H^1(K_v, A)(m) \longrightarrow (T_m \text{Sel}(A^t))^*.$$

The maps (8) and (9) fit into a commutative diagram

$$\begin{array}{ccccc} \bigoplus_{\text{all } v} H^1(K_v, A)(m) & \xrightarrow{(9)} & (T_m \text{Sel}(A^t))^* & \xrightarrow{\sim} & H^2_c(U, \mathcal{A})(m) \\ \uparrow & & \uparrow & & \nearrow \\ \bigoplus_{v \notin U} H^1(K_v, A)(m) & \xrightarrow{(8)} & \mathcal{B}(A)_U(m) & \xrightarrow{\sim} & \end{array}$$

where the isomorphism on the top row exists by Proposition 3.3. Taking the direct limit over U in the above diagram, we conclude that there exists an isomorphism

$$\mathcal{B}(A)(m) \xrightarrow{\sim} (T_m \text{Sel}(A^t))^*,$$

as desired.

Remark 3.4. Recently [7, Theorem 1.2], the Cassels-Tate dual exact sequence has been extended to 1-motives M over number fields under the assumption that the Tate-Shafarevich group of M is finite. Now, using [6, Remark 5.10], it should not be difficult to extend this result

to global function fields, provided the p -primary components of the groups involved are ignored, where p denotes the characteristic of K . In this paper we have removed the latter restriction when M is an abelian variety, but the problem remains for general 1-motives M .

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